

PLAN FEES & EXPENSES

Vendor: _____
 Product Line: _____
 Asset Range for this product: from \$ _____ million to \$ _____ million

Please enter the associated cost in the yellow highlighted boxes for conversion and then as annual recurring costs. Please explain any entries on 'Other' rows in the yellow box next to the word 'Other'. You are only required to enter data in the yellow boxes. The rest will be calculated automatically. Use the {Tab} key to move easily to the next field. {Shift-Tab} will move you to the prior field.

Plan: Milwaukee County Plan of Deferred Compensation

	SET-UP / CONVERSION	ANNUAL / RECURRING (YEAR 1)
Gross Pricing (complete only if requested)		
Per Participant	4,460 lives @ <input type="text"/> = 0	4,460 lives @ <input type="text"/> = 0
Asset-based charge	<input type="text"/> bp's x 301,311,743 = 0	<input type="text"/> bp's x 301,311,743 = 0
Recordkeeping / Administration		
Base Fee	<input type="text"/> = 0	<input type="text"/> = 0
Per Actual Participant	4,460 lives @ <input type="text"/> = 0	4,460 lives @ <input type="text"/> = 0
Per Eligible Participant	0 lives @ <input type="text"/> = 0	0 lives @ <input type="text"/> = 0
Asset-based Charge (include fixed funds)	<input type="text"/> bp's x 301,311,743 = 0	<input type="text"/> bp's x 301,311,743 = 0
Asset-based Charge (exclude fixed funds)	<input type="text"/> bp's x 147,621,914 = 0	<input type="text"/> bp's x 147,621,914 = 0
Voice Response System – set up	<input type="text"/> = 0	
- maintenance		<input type="text"/> minute @ <input type="text"/>
Company Stock - base fee	<input type="text"/> = 0	<input type="text"/> = 0
- asset-based fee	<input type="text"/> bp's x 0 = 0	<input type="text"/> bp's x 0 = 0
Outside Investments – Base Fee	<input type="text"/> = 0	<input type="text"/> = 0
- Per Fund Charge	<input type="text"/> funds @ <input type="text"/> = 0	<input type="text"/> funds @ <input type="text"/> = 0
Loans – Takeover / Conversion	0 loans @ <input type="text"/> = 0	
Origination		0 @ <input type="text"/> = 0
Maintenance		0 @ <input type="text"/> = 0
Distributions		0 @ <input type="text"/> = 0
Direct Expenses (travel, phone, postage, etc)		
Participant statement postage (assume 4/year)		17,840 <input type="text"/> statements @ <input type="text"/> = 0
Other: <input type="text"/>	<input type="text"/> = 0	<input type="text"/> = 0
Other: <input type="text"/>	<input type="text"/> = 0	<input type="text"/> = 0
QDROs		
Processing (per QDRO)		<input type="text"/>
Qualification (per QDRO)		<input type="text"/>
Self-directed brokerage account fees		
Annual plan sponsor fee		<input type="text"/>
Set-up fee per participant		<input type="text"/>
Annual participant fee		<input type="text"/>
Annual inactivity fee		<input type="text"/>
Transfer out fee		<input type="text"/>
Participant fees per trade		
- Online fund trades		<input type="text"/>

PLAN FEES & EXPENSES

Plan: Milwaukee County Plan of Deferred Compensation				
	SET-UP / CONVERSION		ANNUAL / RECURRING (YEAR 1)	
- IVR fund trades				
- Broker assisted fund trades				
Other fees: [REDACTED]				
Other fees: [REDACTED]				
Other Expenses (Please explain)				
Adhoc reports (assume 1/year)				= 0
Other: [REDACTED]				= 0
Other: [REDACTED]				= 0
Total Recordkeeping/Admin Expenses		0		0
Trustee				
Base Fee		= 0		= 0
Per Participant	4,460 lives @	= 0	4,460 lives @	= 0
Asset-based Charge	[REDACTED] bp's x 301,311,743	= 0	[REDACTED] bp's x 301,311,743	= 0
Other: [REDACTED]		= 0		= 0
Total Trustee Expenses		0		0
Communication				
Start-up / Conversion – base fee		= 0		
Materials – per head fee	4,460 lives @	= 0		
Meetings (included)	[REDACTED] days @ N/C			
Meetings (add'l cost)	[REDACTED] days @	= 0		
Other: [REDACTED]		= 0		
Ongoing enrollment/education – base fee				= 0
Materials – per head fee			4,460 lives @	= 0
Meetings (included)			[REDACTED] days @ N/C	
Meetings (add'l cost)			[REDACTED] days @	= 0
Other: [REDACTED]				= 0
Advice Program – base fee		= 0		= 0
Ongoing per participant charge	4,460 lives @	= 0	4,460 lives @	= 0
Ongoing per eligible charge	0 lives @	= 0	0 lives @	= 0
Other: [REDACTED]		= 0		= 0
Direct Expenses (travel, phone, etc)		= 0		= 0
Other: [REDACTED]		= 0		= 0
Total Communication Expenses		0		0
Compliance				
Plan Document		= 0		
IRS Submission		= 0		
Discrimination Testing (ADP/ACP)				= 0
Other testing -415, 402(g), etc				= 0
5500 Filing				= 0
Other: [REDACTED]		= 0		= 0
Total Compliance Expenses		0		0

CLIENT SPECIFIC QUESTIONS

	Question	Response
1.	Is your firm able to rebate, to plan participants, revenue sharing amounts (e.g., sub-transfer agency fees and shareholder servicing fees) received pursuant to a 12b-1 plan or otherwise from both proprietary and nonproprietary mutual funds and collective funds for the provision of recordkeeping and other administrative services to the Plan? If yes, please describe the process in detail.	
2.	Is your firm able to provide participant statements and required notices electronically to participants? If yes, are there any cost savings to the Plan if statements and notices are provided electronically?	

CONTACTS

Please answer all the questions by using the drop downs, check boxes or filling in the form fields. **Do not unprotect** or alter this document in any way. The responses in the document are read in to our database electronically, therefore your answers need to be in the form fields and the form fields need to be in the document in order to load them. If you alter the document by unprotecting it, we will not be able to load your responses and will ask you to resubmit it.

	Question	Response		
1.	Who will be responsible for keeping information on the Aon vendor database current?	RFP Primary Contact		RFP Secondary Contact
	• Name (i.e. Smith, John H.)			
	• Title			
	• Street Address 1			
	• Street Address 2			
	• City			
	• State			
	• Zip Code			
	• Telephone			
	• Fax			
	• E-mail Address			
2.	List the Name, Phone Number and e-mail Address of the local contact responsible for each Aon office listed below:	Name (e.g. Smith Jr., John H.)	Phone Number	e-mail Address
	• Atlanta, GA			
	• Austin, TX			
	• Baltimore, MD			
	• Boston, MA			
	• Charlotte, NC			
	• Chicago, IL			
	• Columbus, OH			
	• Dallas, TX			
	• Detroit, MI			
	• Honolulu, HI			
	• Houston, TX			
	• Los Angeles, CA			
	• Lyndhurst, NJ			
	• Miami, FL			
	• Nashville, TN			
	• New York, NY			
	• Philadelphia, PA			
	• Pittsburgh, PA			
	• Portland, OR			
	• Raleigh, NC			
	• Richmond, VA			
	• San Antonio, TX			
	• San Francisco, CA			
	• Seattle, WA			
	• Somerset, NJ			
	• St. Louis, MO			
	• Tampa, FL			

CONTACTS

	Question	Response		
	<ul style="list-style-type: none"> Washington, DC 			
	<ul style="list-style-type: none"> Winston-Salem, NC 			
3.	Do you have a website setup for retirement plan consultants, such as Aon Consulting? If so, please provide the following:	No Web address:		Access code: PIN:

ORGANIZATION / MARKET FOCUS

	Question	Response		
1.	By your submission of this response, do you certify that the substance of your answers accurately reflects your capabilities and the services that can be delivered?	No		
2.	Are the following services done in-house, or on an outsourced basis (e.g., partially or fully)? If outsourced, indicate the name of the outsourcing firm, how long the relationship has been in existence and if the client deals directly with, or has a day-to-day contact with the firm.		Outsourcing Firm	
		Name	Length of relationship (years)	Client deals directly with firm
	• Record keeping/Administration	Not Provided		No
	• Regulatory/Compliance	Not Provided		No
	• Trustee/Custodial	Not Provided		No
	• Communication/Education	Not Provided		No
	• Conversion/Implementation	Not Provided		No
	• Investment Management	Not Provided		No
	• Company Stock	Not Provided		No
3.	Do you currently outsource any of the following operations to countries outside the U.S.?	<input type="checkbox"/> Recordkeeping services <input type="checkbox"/> Call center <input type="checkbox"/> Communication services <input type="checkbox"/> Other		
	Are the employees for the outsourcing operations employees of your firm or contracted from another firm?	N/A		
4.	Indicate what year your company became active in the daily valuation business in the following categories:	Year		
	• Record keeping/Administration			
	• Trustee/Custodial			
	• Communication/Education			
	• Investment Management			
	• Company Stock			
5.	Does your standard service agreement contain an arbitration requirement?	No		
6.	Does your standard service agreement contain a limit on damages?	Yes		
7.	Does your standard service agreement require gross negligence in order to accept liability?	Yes		
8.	In general, what is the target minimum average balance for a plan to be considered for bundled services?	\$ < 10,000 per participant		
9.	Under which of the following situations would you take on a start-up plan? Check all that apply.	<input type="checkbox"/> In any situation <input type="checkbox"/> If there's an existing relationship <input type="checkbox"/> High expected cash flow <input type="checkbox"/> High anticipated rollovers <input type="checkbox"/> Under no circumstances <input checked="" type="checkbox"/> Case by case basis		

ORGANIZATION / MARKET FOCUS

	Question	Response						
10.	Indicate how many full service daily valuation defined contribution plans you currently administer by plan type in each of the following participant count ranges:							
		Number of Participants						
		< 100	100 - 499	500 - 999	1,000 - 4,999	5,000 - 9,999	> 10,000	Total
	401(k)/ Profit Sharing	0	0	0	0	0	0	0
	403(b)	0	0	0	0	0	0	0
	457(b) Governmental	0	0	0	0	0	0	0
	457(b) Non-governmental	0	0	0	0	0	0	0
	Money Purchase PP	0	0	0	0	0	0	0
	457(f)	0	0	0	0	0	0	0
	NQ Deferred Comp	0	0	0	0	0	0	0
	ESOP	0	0	0	0	0	0	0
	KSOP	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	
11.	Indicate how many full service daily valuation defined contribution plans you currently administer by plan type in each of the following asset ranges							
		Assets						
		< 1 million	1 - 5 million	> 5 - 25 million	> 25 - 100 million	> 100 - 500 million	> 500 million	Total
	401(k)/ Profit Sharing	0	0	0	0	0	0	0
	403(b)	0	0	0	0	0	0	0
	457(b) Governmental	0	0	0	0	0	0	0
	457(b) Non-governmental	0	0	0	0	0	0	0
	Money Purchase PP	0	0	0	0	0	0	0
	457(f)	0	0	0	0	0	0	0
	NQ Deferred Comp	0	0	0	0	0	0	0
	ESOP	0	0	0	0	0	0	0
	KSOP	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	

ORGANIZATION / MARKET FOCUS

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12.	<p>Indicate the number of new clients you have added in the past 2 years in each of the following participant count ranges:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th colspan="7" style="text-align: center;">Number of Participants</th> </tr> <tr> <th></th> <th style="text-align: center;">< 100</th> <th style="text-align: center;">100 - 499</th> <th style="text-align: center;">500 - 999</th> <th style="text-align: center;">1,000 - 4,999</th> <th style="text-align: center;">5,000 - 9,999</th> <th style="text-align: center;">> 10,000</th> <th style="text-align: center;">Total</th> </tr> </thead> <tbody> <tr> <td>401(k)/ Profit Sharing</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>403(b)</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>457(b) Governmental</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>457(b) Non-governmental</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Money Purchase PP</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>457(f)</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>NQ Deferred Comp</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>ESOP</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>KSOP</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>Total</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> </tbody> </table>		Number of Participants								< 100	100 - 499	500 - 999	1,000 - 4,999	5,000 - 9,999	> 10,000	Total	401(k)/ Profit Sharing	0	0	0	0	0	0	0	403(b)	0	0	0	0	0	0	0	457(b) Governmental	0	0	0	0	0	0	0	457(b) Non-governmental	0	0	0	0	0	0	0	Money Purchase PP	0	0	0	0	0	0	0	457(f)	0	0	0	0	0	0	0	NQ Deferred Comp	0	0	0	0	0	0	0	ESOP	0	0	0	0	0	0	0	KSOP	0	0	0	0	0	0	0	Total	0	0	0	0	0	0	0	
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Total	0	0	0	0	0	0	0																																																																																											
14.	<p>Which of the following industries represent 10% or more of your client base? Check all that apply.</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Construction</td> <td><input type="checkbox"/> Food Service Industry</td> <td><input type="checkbox"/> Non-profit</td> <td><input type="checkbox"/> Taft-Hartley</td> </tr> <tr> <td><input type="checkbox"/> Education</td> <td><input type="checkbox"/> Government</td> <td><input type="checkbox"/> Professional Services</td> <td><input type="checkbox"/> Technology</td> </tr> <tr> <td><input type="checkbox"/> Engineering</td> <td><input type="checkbox"/> Health Care</td> <td><input type="checkbox"/> Religious/Church</td> <td><input type="checkbox"/> Telecommunications</td> </tr> <tr> <td><input type="checkbox"/> Energy & Utilities</td> <td><input type="checkbox"/> Manufacturing</td> <td><input type="checkbox"/> Retail</td> <td><input type="checkbox"/> Universities</td> </tr> <tr> <td><input type="checkbox"/> Financial & Insurance</td> <td colspan="3">Other: _____</td> </tr> </table>	<input type="checkbox"/> Construction	<input type="checkbox"/> Food Service Industry	<input type="checkbox"/> Non-profit	<input type="checkbox"/> Taft-Hartley	<input type="checkbox"/> Education	<input type="checkbox"/> Government	<input type="checkbox"/> Professional Services	<input type="checkbox"/> Technology	<input type="checkbox"/> Engineering	<input type="checkbox"/> Health Care	<input type="checkbox"/> Religious/Church	<input type="checkbox"/> Telecommunications	<input type="checkbox"/> Energy & Utilities	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Retail	<input type="checkbox"/> Universities	<input type="checkbox"/> Financial & Insurance	Other: _____																																																																															
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<input type="checkbox"/> Engineering	<input type="checkbox"/> Health Care	<input type="checkbox"/> Religious/Church	<input type="checkbox"/> Telecommunications																																																																																															
<input type="checkbox"/> Energy & Utilities	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Retail	<input type="checkbox"/> Universities																																																																																															
<input type="checkbox"/> Financial & Insurance	Other: _____																																																																																																	
15.	<p>Please provide the current credit rating of your organization from the following major rating services.</p> <table style="width: 100%;"> <tr> <td style="width: 40%;"> <ul style="list-style-type: none"> • Fitch • Moody's • Standard & Poor's • Weiss </td> <td style="width: 60%;"> <p style="text-align: center;">Rating</p> </td> </tr> </table>	<ul style="list-style-type: none"> • Fitch • Moody's • Standard & Poor's • Weiss 	<p style="text-align: center;">Rating</p>																																																																																															
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ORGANIZATION / MARKET FOCUS

	Question	Response					
16.	For your institutional retirement plan business, how many employees work in each of the following functional areas?						
	• Record keeping/Administration						
	• Client Relationship Management Services						
	• Communication/Education						
	• Call Centers (CSRs)						
	• Technical Support / IT						
	• Conversions						
	• ERISA Attorneys						
17.	How many conversions and deconversions have you done in the past 2 years?	Conversions: Deconversions:					
18.	Do you provide, or have formal alliances with an outside third party to deliver any of the following services:		Alliance Partner				
	• Defined Benefit Actuarial	No					
	• Defined Benefit Administration	No					
	• Total Retirement Administration	No					
	• Total Benefits Administration	No					
19.	Please indicate the length of each type of training for new employees prior to working on client plans:	Classroom training		Mentoring		On-the-job training	
	• Plan Administrator	< 2 weeks		< 2 weeks		< 2 weeks	
	• Relationship Manager	< 2 weeks		< 2 weeks		< 2 weeks	
	• CSR	< 2 weeks		< 2 weeks		< 2 weeks	
	• Communication Specialist	< 2 weeks		< 2 weeks		< 2 weeks	
	• Compliance Specialist	< 2 weeks		< 2 weeks		< 2 weeks	
	• Conversion Specialist	< 2 weeks		< 2 weeks		< 2 weeks	
20.	What are the minimum education requirements and years of industry experience required for the following team members before working on client plans?	Minimum Education Required				Minimum Years of Industry Experience Required	
	• Plan Administrator	High School diploma				None	
	• Relationship Manager	High School diploma				None	
	• CSR	High School diploma				None	
	• Communication Specialist	High School diploma				None	
	• Compliance Specialist	High School diploma				None	
	• Conversion Specialist	High School diploma				None	
21.	What kind of licenses/credentials do you require for the following team members?	Plan Admin.	Relationship Manager	CSR	Communication Specialist	Compliance Specialist	Conversion Specialist
	NASD Series 6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	NASD Series 7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	NASD Series 63	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	NASD Series 65	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	ASPPA - QKA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	ASPPA - QPA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	ASPPA - CPC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	CEBS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22.	What type of structure does your organization use for servicing clients?	Team approach					

ORGANIZATION / MARKET FOCUS

	Question	Response																					
23.	What is the average number of clients serviced by the following team members for this market segment?																						
	• Plan Administrator	> 25																					
	• Relationship Manager	> 25																					
24.	What is the turnover rate for the following job positions in the last 24 months?	Internal (change jobs)	External (leave company)																				
	• Plan Administrator	> 15%	> 15%																				
	• Relationship Manager	> 15%	> 15%																				
25.	In what ways do you monitor client satisfaction? Check all that apply.	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;">Methods / Tools</th> <th style="width: 20%;">Frequency</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Self-driven client satisfaction survey</td> <td>N/A</td> </tr> <tr> <td><input type="checkbox"/> External independent third party surveys If yes, name of the firm</td> <td>N/A</td> </tr> <tr> <td><input type="checkbox"/> Client advisory board</td> <td>N/A</td> </tr> <tr> <td><input type="checkbox"/> Client report cards</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Measurable Service guarantees</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Client meetings</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Team member compensation linked to client satisfaction</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Other -</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Do not monitor</td> <td></td> </tr> </tbody> </table>		Methods / Tools	Frequency	<input type="checkbox"/> Self-driven client satisfaction survey	N/A	<input type="checkbox"/> External independent third party surveys If yes, name of the firm	N/A	<input type="checkbox"/> Client advisory board	N/A	<input type="checkbox"/> Client report cards		<input type="checkbox"/> Measurable Service guarantees		<input type="checkbox"/> Client meetings		<input type="checkbox"/> Team member compensation linked to client satisfaction		<input type="checkbox"/> Other -		<input type="checkbox"/> Do not monitor	
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27.	If a team member's compensation is based on client or participant satisfaction, indicate which team members are subject to this measurement and the percent of compensation affected.	Team Members <input type="checkbox"/> Plan Administrator <input type="checkbox"/> Relationship Manager <input type="checkbox"/> CSR <input type="checkbox"/> Communication Specialist <input type="checkbox"/> Compliance Specialist <input type="checkbox"/> Conversion Specialist	% of Compensation % % % % % %																				
28.	Within the last 5 years, has your firm been subject to any litigation related to employee plan services denoted? If so, please check off which areas were affected.	<table border="1" style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td style="width: 70%; vertical-align: top;"> <input type="checkbox"/> Business Conduct <input type="checkbox"/> Fiduciary Issues <input type="checkbox"/> Fee Litigation <input type="checkbox"/> ER Stock Investments <input type="checkbox"/> Investments (other than ER Stock) <input type="checkbox"/> Data security </td> <td style="width: 30%; vertical-align: top;"> <input type="checkbox"/> Trust Services <input type="checkbox"/> Compliance <input type="checkbox"/> Record Keeping <input type="checkbox"/> Employee Education <input type="checkbox"/> Other <input type="checkbox"/> None </td> </tr> </tbody> </table>		<input type="checkbox"/> Business Conduct <input type="checkbox"/> Fiduciary Issues <input type="checkbox"/> Fee Litigation <input type="checkbox"/> ER Stock Investments <input type="checkbox"/> Investments (other than ER Stock) <input type="checkbox"/> Data security	<input type="checkbox"/> Trust Services <input type="checkbox"/> Compliance <input type="checkbox"/> Record Keeping <input type="checkbox"/> Employee Education <input type="checkbox"/> Other <input type="checkbox"/> None																		
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RECORD KEEPING / ADMINISTRATION

	Question	Response
1.	Do you provide an administration manual?	No
2.	What is your cut-off time for processing transactions?	4:00 PM and later Eastern Time
3.	When are trades with outside fund families completed assuming that the request is received before the cut-off time?	Same day
4.	How often are the Web, Voice and recordkeeping systems updated so they are in sync?	> 1 day
5.	If a redemption fee applies to a particular investment fund please indicate any of the following transactions where the redemption fee would apply.	<input type="checkbox"/> Replacing an existing Fund option <input type="checkbox"/> Automatic cash outs (balance < \$5,000) <input type="checkbox"/> Refund of excess deferrals or contributions <input type="checkbox"/> Minimum required distributions <input type="checkbox"/> Asset movement due to change in record keeper <input type="checkbox"/> Residual balance payouts <input type="checkbox"/> Contribution deposits <input type="checkbox"/> Forfeitures <input type="checkbox"/> Rollover contributions <input type="checkbox"/> Loan issuance <input type="checkbox"/> Loan repayments <input type="checkbox"/> Hardship withdrawals <input type="checkbox"/> In-service withdrawals <input type="checkbox"/> Termination distributions <input type="checkbox"/> Participant initiated fund-to-fund transfers <input type="checkbox"/> Posting of dividends/earnings <input type="checkbox"/> Pricing errors/adjustments <input type="checkbox"/> Posting of fees
6.	Do you track transactions with unalterable time stamps (Electronic imaging)?	No
7.	Does the Web or Voice system alert the participant that they are about to make a transaction in a fund that may be subject to redemption fees? If so, does it show the approximate amount?	No No
8.	Can you support the Plan Sponsor with appropriate communication, such as participant level reports of excessive trading and notices to participants who have violated excessive trading?	No
9.	Can you accept payroll files from multiple vendors / locations?	No
10.	How many payroll feeds will you accept per year without any additional charge?	12
11.	Would the above answer be different if there are multiple formats?	No
12.	Will you accept complete payroll data for all employees (including the indicative data) each pay period?	No
13.	Is the format of the payroll data:	Customer defined
14.	When an error is discovered in data transmitted to you, does your firm:	Reject entire file
15.	Can you initiate/accept ACH debit for funding of contributions?	Neither
16.	Can a participant elect catch-up contributions in percentage and/or dollar amounts?	Percentage
17.	Can a participant elect regular deferrals (i.e. not catch-up) in percentage and/or dollar amounts?	Percentage

RECORD KEEPING / ADMINISTRATION

	Question	Response
18.	Can a participant elect special deferral elections for bonuses?	No
19.	How are catch up elections made? Check all that apply	<input type="checkbox"/> Web <input type="checkbox"/> Voice <input type="checkbox"/> CSR <input type="checkbox"/> Hard copy
20.	Do you perform data edits for missing data, data inconsistencies and plan restrictions on the electronic data you receive?	No
21.	Which of the following will your firm handle without requiring plan sponsor review/approval? Check all that apply:	<input type="checkbox"/> Sponsor approval required for all types of distribution requests <input type="checkbox"/> Age 59½ withdrawal <input type="checkbox"/> Hardship withdrawal <input type="checkbox"/> Withdrawal of after-tax money only <input type="checkbox"/> Withdrawal of employer contributions <input type="checkbox"/> Termination of employment <input type="checkbox"/> Minimum required distribution <input type="checkbox"/> Loans
22.	Do you provide reverse payroll feeds electronically for any of the following?	<input type="checkbox"/> New loans <input type="checkbox"/> Loan payoffs <input type="checkbox"/> Hardship suspensions <input type="checkbox"/> Auto enrollments <input type="checkbox"/> Auto increases <input type="checkbox"/> Deferral elections <input type="checkbox"/> Catch-up elections
23.	How often can you send reverse payroll feeds to the plan sponsor? Check all that apply.	<input type="checkbox"/> Monthly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Weekly <input type="checkbox"/> Daily <input type="checkbox"/> At client's request
24.	After a hardship distribution has been paid, is the employer notified if a payroll file includes a contribution for that employee within the next 6 months?	No
25.	What is the standard turnaround time (in business days) for mailing the following distribution checks?	
	• In-service withdrawal checks	over 5 days
	• Termination distribution checks	over 5 days
	• Loan checks	over 5 days
26.	How do you detect that an employee making loan repayments has changed payroll frequency?	Error generated by RK system
27.	What is the standard process if the loan payment received is different than what is expected?	Post payment as received
28.	If some accounts require the spouse's signature for loans, can they be flagged so that paperless loan processing is not offered while paperless loans processing is offered to the other participants?	No
29.	Do you monitor loan delinquencies and automatically provide notice to participants without any plan sponsor involvement when a loan is delinquent/ in default for:	
	• 30 days?	No
	• 60 days?	No
	• 90 days?	No

RECORD KEEPING / ADMINISTRATION

	Question	Response
30.	Assume some plan participants, but not all, are subject to a qualified pre-retirement survivor annuity provision and/or 50% joint and survivor annuity benefit as the normal form of distribution. Can you flag these participants in your system and provide the required notifications only to these participants?	No
31.	How long are terminated employees maintained on your system?	Immediately purged
32.	Will you maintain and monitor a forfeiture account and provide periodic statements that reflect the amounts available in this account?	No
33.	How can forfeitures be used? Check all that apply.	<input type="checkbox"/> Reallocated to participants <input type="checkbox"/> Offset future contributions <input type="checkbox"/> Pay expenses <input type="checkbox"/> Other
34.	Do you proactively monitor terminated employees with < \$5,000 vested balances and make mandatory cash-out distributions?	No
35.	Can your system exclude rollover amounts when determining vested balances for mandatory cash-outs?	No
36.	Will you automatically send a distribution kit to participants upon receipt of termination date?	No
37.	Indicate the number of <u>non-immediate</u> vesting schedules your system can track per plan	0
38.	Can a separate vesting schedule be maintained for each account source?	No
39.	Can an individual participant elect auto increases (if auto increase not implemented across the entire plan)?	No
40.	In an auto enrollment plan, do you track the 90 day window for distributions?	No
41.	Do you require a plan to implement auto increases if the plan has an auto-enrollment feature?	No
42.	When an employee is rehired (during the appropriate timeframe) who forfeited because of a distribution from the plan, do you notify the employee that his/her forfeiture can be reinstated upon repayment? (assuming employee will supply information if you don't have it)	No
43.	Can you record keep an outside GIC?	No
44.	Are all transactions (involving mutual funds <u>or</u> separate accounts that purchase mutual funds) processed at the NAV as reported in the Wall Street Journal?	No
45.	Does the record keeping system allow for plan sponsor customization/limits on:	
	• Transfer frequency	No
	• Minimum/maximum contribution percentages	No
	• Withdrawal frequency	No
	• Investment election changes	No
	• Contribution rate changes	No

RECORD KEEPING / ADMINISTRATION

	Question	Response
46.	Specify the record keeping system's maximum limits with regard to the following:	
	• Investment funds	< 15
	• Money sources	< 10
	• Combination (funds / sources)	< 25
	• Loans per participant	0
47.	Do you use a third party to qualify DROs?	Not Available
48.	Do you use an outside vendor to administer QDRO's?	No
49.	Do you provide distribution counseling to participants upon termination of employment?	No
50.	If you provide distribution counseling, do you promote your firm's IRA product during the counseling session?	Yes, always
51.	Do you offer an IRA rollover product with qualifying investment options for mandatory rollovers?	No
52.	Will you purchase an annuity for terminated employees if it is a distribution option from the plan?	No
53.	How often do you test your disaster recovery procedures?	Annually
54.	How many redundant sites do you maintain?	0
55.	Are your redundant sites sufficiently geographically dispersed in order to minimize the possibility of multiple sites being impacted by the same disaster?	No
56.	Do you have a redundant call center site?	No
57.	Who supports your disaster recovery system?	
58.	In the event of a disaster, how long will it take for your hot site to be fully functional?	> 48 hours
59.	How often do you do full backups of your files?	monthly
60.	Are the backups cataloged and stored offsite?	No
61.	How quickly can the files be recalled if data needs to be restored?	> 48 hours
62.	Do you have an outside firm that is in-charge of your back-up facility?	No
	If yes, provide the name of the firm	
63.	How long is your data retained and accessible?	< 7 years
64.	Do you retain a history of all transactions, the back-up detail of the decision request and the documentation supporting the request outcome, even when those details could ultimately show an error on the part of employees or contractors of your organization involving your clients' plans?	No
65.	Do you retain records accurately reflecting the substance of contacts with plan participants, the plan sponsor and plan fiduciaries?	No
66.	Do you retain records of the above transactions detail and contacts for at least 7 years?	No
	If no, how long?	years
67.	If an error, by employees or contractors of your firm, results in a participant being in a less favorable position than they would have been in had the error not occurred, will your firm make the financial contribution necessary to put the participant in the position they would have been in had the error not occurred?	No

RECORD KEEPING / ADMINISTRATION

	Question	Response
68.	Will the non-qualified plan be maintained on a system that is specialized for non-qualified plan accounting?	No
69.	Can the qualified and non-qualified plan's websites both be accessed with a single sign-on?	No
70.	How do employees enroll in a non-qualified plan?	<input type="checkbox"/> Paper <input type="checkbox"/> Web <input type="checkbox"/> Voice <input type="checkbox"/> CSR

REGULATORY COMPLIANCE / REPORTING

	Question	Response
1.	Will your firm provide record keeping services for plans with a customized document?	No
2.	Will you ensure that the plan is administered in accordance with a custom document?	No
3.	Does your firm collect data needed for testing and other compliance needs independently, or use participant record keeping data?	Independent Collection
4.	Do you reconcile recordkeeping data with testing data?	No
5.	To complete the annual ADP/ACP testing, how many business days prior to the due date does data need to be received and in good order?	> 30
6.	If testing is performed by an independent third party, how many business days prior to the refund deadline does “good” data need to be received in order to calculate earnings and mail the refund checks?	> 30
7.	Will you assist clients in making corrections based on EPCRS or VCP?	No
8.	Will you monitor the timing of payroll deposits to ensure they are in compliance with DOL regulations and notify clients if they are not in compliance?	No
9.	Will you be able to perform IRC Section 410(b) coverage testing prior to performing an ADP/ACP test to ensure that the same methodology will be applied for both tests?	No
10.	Does your firm provide a written commitment that its plan operations comply with plan documents, IRC code, IRS regulations and ERISA?	No
11.	Does your firm accept responsibility for distribution of required information if the plan intends to comply with ERISA 404(c)?	No
12.	How does your firm keep the plan sponsor up to date on regulatory changes? Check all that apply:	<input type="checkbox"/> Periodic newsletter <input type="checkbox"/> Letters <input type="checkbox"/> Telephone contact <input type="checkbox"/> E-mail <input type="checkbox"/> Plan Sponsor Website <input type="checkbox"/> Web conferences <input type="checkbox"/> Periodic face-to-face meetings
13.	Does your firm prepare a “signature ready” IRS Form 5500, or only provide plan sponsor reports for completion by the sponsor?	Reports for sponsor
14.	Do you provide required auditor support and reporting?	No
15.	Are your firm’s systems and procedures audited by an independent certified public accountant? If so, when was the last audit?	<div style="display: flex;"> <div style="flex: 1;">No</div> <div style="flex: 1;">Date of last audit:</div> </div>
16.	What type of auditor’s opinion was received?	Unqualified
17.	Will you deliver the annual audit report directly to the audit firm with a copy to the client?	No
18.	Can you prepare and distribute SARs annually to all eligible employees and participants/beneficiaries with account balances?	No
19.	Will you prepare and distribute updated/revised SPDs and SMMs to all eligible participants?	No

REGULATORY COMPLIANCE / REPORTING

	Question	Response	
20.	Is the plan sponsor able to access the following through the Web?		
	• Access plan level information	No	
	• Access participant level information	No	
	• Request standard reports	No	
	• Access standard reports	No	
	• Create custom reports	No	
	• Transact business on participant's behalf	No	
	• Approve loans / withdrawals	No	
	• Provide varying levels of access to plan level information	No	
	• Provide varying levels of access to participant level information	No	
21.	Is there a demo account available to view such Web capabilities? If so, please provide the following:	No	Web address: Access code: PIN:
22.	Indicate frequency, time frame and delivery method for your standard reports:	Frequency	Number of business days following period end
	• Trust Report	N/A	business days
	• Allocation/Valuation Report	N/A	business days
	• Reconciliation	N/A	business days
	• Participant Account Summary	N/A	business days
	• Distribution Report	N/A	business days
	• Investment Review	N/A	business days
	• Loan Report	N/A	business days
	• Minimum Distribution Report	N/A	business days
	• Plan Level Financials – Detail	N/A	business days
	• Plan Level Financials - Summary	N/A	business days
	• Forfeiture report	N/A	business days
23.	Can divisional reports be provided to specified contacts at each division?	No	
24.	Are there any states in which you are not licensed to conduct business for 401(k), 403(b) or 457 plans?	Yes	

TRUSTEE / CUSTODIAL

	Question	Response	
1.	Will your firm allow the plan sponsor to self-trustee the plan?	No	
2.	Will your firm act as directed trustee/custodian? If <u>not</u> , state name of entity.	No	Name of entity providing services:
3.	Will your firm or the named trustee act as a discretionary trustee?	No	
4.	Will your firm or the named trustee work with an outside trustee?	No	
5.	Will your firm or the named trustee serve as directed trustee/custodian for outside funds?	No	
6.	Will your firm or the named trustee serve as directed trustee/custodian for an outside GIC portfolio?	No	
7.	Will your firm or the named trustee serve as directed trustee/custodian for publicly traded company stock?	No	
8.	Will your firm or the named trustee serve as directed trustee/custodian for non-publicly traded company stock?	No	
9.	Who assumes responsibility for:		
	• Withholding of federal taxes	Not Provided	
	• Preparation of federal filing	Not Provided	
	• Remittance to IRS	Not Provided	
	• Withholding of state taxes	Not Provided	
	• Preparation of state filing	Not Provided	
	• Remittance to state	Not Provided	

COMMUNICATION / EDUCATION

	Question	Response
1.	Is it your normal practice to assign a dedicated communication/education specialist to the client/plan?	No
2.	How many years of history can be displayed on the Web?	1
3.	What is your turnaround time for participant statements (in business days after period end)?	> 30 business days
4.	What are the hours a customer service representative is available (Eastern Time)?	
	• Monday through Friday	10:00 am to 4:00 pm ET
	• Saturday	to ET <input type="checkbox"/> Not Available
	• Sunday	to ET <input type="checkbox"/> Not Available
5.	What is the average wait time before a call is answered?	Not Available Seconds
6.	Can you develop a custom communication campaign from “scratch” that includes the plan sponsor’s look and feel (not just their logo)?	No
7.	In general, is there a breakpoint at which you are able to offer a fully customized campaign at no additional cost to the plan sponsor?	
	• If average balance exceeds	\$
	• If total plan assets exceed (millions)	\$ million
8.	Do you provide targeted communications for any of the following? Check all that apply.	<input type="checkbox"/> Non-participation <input type="checkbox"/> Diversification <input type="checkbox"/> Low deferral rates <input type="checkbox"/> Other
9.	Can you provide personalized communications using participant specific data?	No
10.	What materials are included in the enrollment kit provided to newly eligible employees?	<input type="checkbox"/> Plan highlights or summary <input type="checkbox"/> Investment risk profile questionnaire <input type="checkbox"/> Summary Plan Description <input type="checkbox"/> Safe Harbor notice (if applicable) <input type="checkbox"/> Auto enrollment notice (if applicable) <input type="checkbox"/> QDIA notice (if applicable) <input type="checkbox"/> Enrollment instructions <input type="checkbox"/> Fund fact sheets/ Prospectuses <input type="checkbox"/> Forms <input type="checkbox"/> Basic Investment education <input type="checkbox"/> Other <input type="checkbox"/> Do not provide enrollment kits
11.	If the SPD is not included in the enrollment kit, do you distribute a copy of the SPD to all participants?	No
12.	Does your on-line retirement tool offer default assumptions with the flexibility to change assumptions and make projections?	No
13.	Which retirement income sources can be included with your retirement planning tools?	<input type="checkbox"/> Social Security <input type="checkbox"/> DC plans <input type="checkbox"/> DB plans <input type="checkbox"/> Other personal savings <input type="checkbox"/> IRA <input type="checkbox"/> Spousal benefits
14.	Can you provide retirement related articles for in-house newsletters?	No

COMMUNICATION / EDUCATION

	Question	Response		
15.	Do you offer a Web based participant investment advice product? If so, which of the following providers do you use?	<div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> In-house system <input type="checkbox"/> Ibbottsen <input type="checkbox"/> ProManage <input type="checkbox"/> ProNvest </div> <div> <input type="checkbox"/> Financial Engines <input type="checkbox"/> Morningstar <input type="checkbox"/> GuidedChoice <input type="checkbox"/> MasteryPOINT </div> </div> Other:		
	If multiple providers are offered, at what level is the choice of provider made?	Not Applicable		
16.	Will the provider(s) named above take on a fiduciary role with respect to the advice they provide to plan participants?	No		
17.	Do you offer managed accounts? If so, who provides the service?	No Provider:		
18.	Will the service provider accept fiduciary responsibility for the product?	No		
19.	Is the information from your record keeping system fed directly into the financial advice software?	No		
20.	Do you provide any of the following communication and education materials in Spanish or any other foreign language?	Spanish	Other Languages	Is there an Additional Charge?
	• Enrollment booklet	No	No	No
	• Enrollment forms	No	No	No
	• Summary plan descriptions	No	No	No
	• Fund fact sheets	No	No	No
	• Investment information	No	No	No
	• Other written materials	No	No	No
	• Videos/DVDs/CDs	No	No	No
	• Employee meetings	No	No	No
	• Customer Service Representatives	No	No	No
	• Webcasts	No	No	No
	• Voice	No	No	No
	• Web	No	No	No
21.	What is the percentage of issues resolved on the first call to a CSR?	%		
22.	If an issue requires further research, what is the maximum timeframe to contact the participant with a status update?	> 48 hours		

CONVERSION / IMPLEMENTATION

	Question	Response	
1.	Do you provide a dedicated conversion specialist?	No	
2.	Is the Relationship Manager involved from the beginning and throughout the conversion process?	No	
3.	Will the conversion specialist coordinate with payroll, communications, compliance and legal staff and manage all deliverables?	No	
4.	Will you provide documentation of decisions and outstanding issues following each weekly conversion call?	No	
5.	What is the typical number of conversions managed by the conversion specialist <u>at any one time</u> for this market segment?	> 5	
6.	How are assets invested during the conversion period? Check all that can be handled by your firm.	<input type="checkbox"/> Mapped to like funds <input type="checkbox"/> In the same options as the employees currently use <input checked="" type="checkbox"/> Employee makes elections <input checked="" type="checkbox"/> Mapped to Target Date Funds <input checked="" type="checkbox"/> QDIA options <input type="checkbox"/> Other fund chosen by plan sponsor	
7.	Will you map risk-based lifestyle funds to Target Date funds at the time of conversion?	No	
8.	How are employees' investment elections for future contributions handled upon transfer of assets? Check all that apply.	<input type="checkbox"/> New elections solicited prior to transfer <input type="checkbox"/> Mapped to like funds <input type="checkbox"/> Use a default fund	
9.	How many business days is the blackout period once you have "good data" from the prior record keeper?	> 30	
10.	If more than one plan is added at a time (due to M&A) can individual plans be brought out of blackout if others aren't ready?	No	
11.	Which of the following can you accept during the blackout period?	<input type="checkbox"/> Contributions <input type="checkbox"/> Loan Repayments	
12.	What type of format do you require for conversion records?	Own format required	
13.	How does your system handle conversion/set-ups of pre-existing loans from another recordkeeping system?	<input type="checkbox"/> Keep same amortization schedule <input type="checkbox"/> Re-amortize all loans	
14.	Which of the following are available during the blackout period?		
	• Plan information/provisions	via Voice	via the Web
	• Information about the new investments	No	No
	• Discuss or email questions about the plan and conversion with a customer service representative	No	No
	• Make investment choices for future contributions	No	No
	• Make investment choices for the balances being converted	No	No
15.	In general, what is the minimum amount of time required (in weeks) before accepting new money once you have been awarded the business?	> 12 Weeks	

INVESTMENT OFFERINGS / FLEXIBILITY

	Question	Response	
1.	How many investment options are available in your investment platform? Please provide a comprehensive list as a separate addendum.	< 50	
2.	Are the investment options that you offer wrapped in an annuity or any other contractual type arrangement?	All	
3.	Are sponsors limited to your proprietary fund line-up?	No	
4.	Do you have a formal alliance with outside fund families?	No	
5.	Can you record keep non-proprietary, non-alliance funds?	No	
6.	Are you willing to add additional funds or class shares to your platform if they are not currently traded?	No	
7.	Are you willing to allow the client to select institutionally priced mutual funds with no or minimum revenue sharing, and price services on a per participant basis?	No	
8.	Do you accept fiduciary liability with respect to a specific platform that you offer?	No	
9.	Do you provide investment advice to plan sponsors related to the funds offered in the plan?	No	
10.	Are you a co-fiduciary for the investment advice you provide to the plan sponsor?	N/A	
11.	Are there any funds for which you will not provide investment advice?	None	
12.	Are there any funds for which you will not be a co-fiduciary?	None	
13.	Do you specify co-fiduciary status (regarding investment advice) in writing?	N/A	
14.	How much is your liability limited to in your standard service agreement?	< \$25,000	
15.	Do you offer a selection of commingled or common trust options for any plan? If so, what is the general minimum required investment (in millions) and any additional cost?	No	Min. Investment: \$ million Additional Cost: \$
16.	Do you offer separate account management for any plan? If so, what is the general minimum required investment (in millions) and any additional cost?	No	Min. Investment: \$ million Additional Cost: \$
17.	Can a plan sponsor combine mutual funds, common trusts and separate accounts to create a customized investment menu for their plan? If so, what is the general minimum plan assets required (in millions)?	No	\$ million
18.	Do you have any restrictions on the type of investment options that may be offered? If so, what are the restrictions?	No	
19.	Do any of the following restrictions apply with regard to the type and number of outside (non-proprietary) fund options that may be offered? If so, please describe.		Describe (below)
	• Number of Funds	#	
	• Percentage of Funds	0 %	
	• Percentage of Assets	0 %	
20.	Do you require the use of a proprietary option in the stable value asset class?	No	

INVESTMENT OFFERINGS / FLEXIBILITY

	Question	Response
21.	Is there an initial and ongoing due diligence process used in selecting and monitoring the fund managers offered in your alliance menu, including qualitative and quantitative measures? Check all that apply.	<input type="checkbox"/> No defined process <input type="checkbox"/> Internal RIA <input type="checkbox"/> External RIA <input type="checkbox"/> Quantitative review for all funds <input type="checkbox"/> Quantitative review for subset of funds <input type="checkbox"/> Qualitative review for all funds <input type="checkbox"/> Qualitative review for subset of funds <input type="checkbox"/> Annual monitoring report to sponsor <input type="checkbox"/> Quarterly monitoring report to sponsor
22.	Will you assign an investment specialist to the client?	No
23.	Indicate the types of lifestyle/lifecycle funds that are available in your platform:	<input type="checkbox"/> Risk-based <input type="checkbox"/> Age-based <input type="checkbox"/> Time horizon-based (based on years until retirement) <input type="checkbox"/> Combination age-based & risk-based <input type="checkbox"/> Combination time horizon-based & risk-based
24.	How many non-proprietary lifestyle/lifecycle products are available in your platform?	1 - 5
25.	Do you require the use of proprietary lifestyle/lifecycle options?	Yes
26.	Can you support an offering of customized lifestyle/lifecycle portfolios that invest in plan specific underlying funds not offered in the plan?	No
	According to level of risk?	No
	According to target date for retirement?	No
27.	Can you support automatic rebalancing according to a lifestyle portfolio model?	No
28.	Do you require that custom lifecycle portfolios be unitized or can they be offered in the model construct? If unitized, is there an extra cost?	Unitized Extra cost: N/A amount:
29.	Can you calculate and report returns on model portfolios to participants if they are not unitized?	No
30.	What type of communication materials are you willing to provide plan participants regarding custom lifecycle models?	<input type="checkbox"/> Fund fact sheets <input type="checkbox"/> Web based information <input type="checkbox"/> Information included in enrollment materials <input type="checkbox"/> Model returns <input type="checkbox"/> None
31.	Will you negotiate revenue sharing agreements for products or share classes not currently available in your platform?	No
32.	Have you eliminated any alliance mutual funds (or families) because of short-term trading fees? If yes, which fund families?	No
33.	Do you offer a self-directed brokerage account option	No
34.	Can restrictions be placed on the types of securities that will be offered for the self-directed brokerage option?	No
35.	Can trading be restricted to mutual funds only for the self-directed brokerage option?	No
36.	Can trading of company stock be restricted for the self-directed brokerage option?	No
37.	Are there limits on the amount of money that can be directed to the self-directed brokerage option? If so, please describe.	No
38.	If so, who sets the limit for the self-directed brokerage option?	Not Applicable

INVESTMENT OFFERINGS / FLEXIBILITY

	Question	Response
39.	Is additional education given to participants using the self-directed brokerage option?	No
40.	Can the participant use their own broker for the self-directed brokerage option?	No
41.	Who is your trading partner for the self-directed brokerage option?	
42.	If you offer a managed account option as part of your investment advice to participants, please explain the investment methodology and how it complies with current regulatory requirements?	

COMPANY STOCK

	Question	Response	
1.	If share accounting is unitized, can trades settle earlier than T+3?	No	No additional cost
2.	If share accounting is unitized, how do you handle cash in the company stock account?	Cash kept in money mkt type fund	
3.	Are participant stock account totals balanced every day to the shares in the stock account?	No	
4.	If stock is unitized, do you convert it to shares when communicating to employees:		
	• On the statement	No	
	• On the Web	No	
	• On Voice	No	
5.	For dividend pass-through provisions, how do participants make elections? (Check all that apply)	<input type="checkbox"/> Voice <input type="checkbox"/> Web <input type="checkbox"/> Paper form <input checked="" type="checkbox"/> CSR <input type="checkbox"/> Other	
6.	For non-ESOP plans with company stock as an investment option, do you automatically provide the required PPA diversification notice?	No	
7.	How are employees notified of diversification rights?	Generic notice of rights and timing	
8.	How do employees make diversification elections? (Check all that apply)	<input type="checkbox"/> Voice <input type="checkbox"/> Web <input type="checkbox"/> Paper <input type="checkbox"/> CSR <input type="checkbox"/> Other	
9.	What is the length of time after the diversification election is received until the trade out of company stock is made?	> 3 day(s)	
10.	If plan is a KSOP:		
	• Will the ESOP and 401(k) portion of the plan be treated as separate "plans" on your recordkeeping platform?	No	
	• Will the reporting for the 401(k) and ESOP portions of the plan be combined on:		
	1. Plan sponsor website?	No	
	2. Participant website?	No	
	3. Participant statements?	No	
11.	Will you calculate the maximum deductible employer contributions for an S Corp or a C Corp? If yes, is there an additional fee?	No Cost:	
12.	Can you perform the non-allocation tests as required by IRC Sec. 409(p)? If yes, is there an additional fee?	No Cost:	
13.	In what way do you assist an ESOP client in monitoring cash levels required for pending distributions?		
	• Repurchase obligation forecasting	No	
	• On the following frequency:	N/A	
	• Additional cost:		
	• Notice to raise cash based upon estimates of actual benefit elections received	No	

COMPANY STOCK

	Question	Response
14.	If your firm administers the ESOP, but the plan sponsor also has a 401(k) plan administered by another vendor, how will you communicate with the 401(k) vendor regarding coordination of benefits and diversification transfers?	<input type="checkbox"/> We provide data feed to 401(k) vendor for Section 415 testing <input type="checkbox"/> We assume responsibility for combined Section 415 testing <input type="checkbox"/> We provide electronic data feed of diversification amounts by participant to the 401(k) vendor <input type="checkbox"/> We provide paper copies to 401(k) vendor for diversification

FEE STRUCTURE / FLEXIBILITY

	Question	Response
1.	Do any of the following apply to any of the investment offerings included in your fund platform for this service market product? Check all that apply:	<input type="checkbox"/> Front-end sales loads <input type="checkbox"/> Contingent deferred sales charges <input type="checkbox"/> Additional asset-based charges <input type="checkbox"/> Short-term trading fees (other than one imposed by the funds) <input type="checkbox"/> Market value adjustments <input type="checkbox"/> Termination fees
2.	Does your standard contract have any penalties (other than investment fund penalties) if the plan sponsor moves services from your firm within a specific amount of time?	Yes
	If yes, what is the maximum charge?	_____% of assets \$_____ per participant \$_____ flat fee <input type="checkbox"/> varies by year
3.	What is the minimum timeframe for a plan sponsor to terminate the relationship with your firm without incurring any termination fees?	Always a fee
4.	Is your system capable of charging 3 rd party (e.g. auditor, attorney) fees back to participant accounts as a:	
	• Flat dollar amount per person	No
	• Pro-rated amount based on account balance	No
	• Ongoing charge via an additional asset-based charge? (e.g. - netted charge from investment returns)	No
5.	Will you guarantee the amount of your fees?	No
	• If so, generally for how long?	6 months
	• Can this period be extended?	No
6.	Do you ever reduce your fees if service guarantees are not met?	No
7.	Which of the following are available to clients if there are no hard dollar fees to be reduced when service guarantees are not met? Check all that apply.	<input type="checkbox"/> Vendor would pay a financial penalty <input type="checkbox"/> Additional education/communication materials <input type="checkbox"/> Additional meetings <input type="checkbox"/> Additional consulting services <input type="checkbox"/> Waive testing fees <input type="checkbox"/> Set up ERISA “spending account”
8.	Will your firm provide the plan sponsor with an annual accounting of the revenue received to pay for administration and recordkeeping services (this includes revenue received or internally credited from proprietary and non-proprietary investment funds)?	No
9.	Will your firm bear the cost of required corrections if your firm makes errors?	No
10.	Will you setup an ERISA spending account for the plan?	No
11.	If an ERISA spending account is set up, how frequently do you monitor that account?	Never
12.	If the ERISA spending account is not fully used by the plan sponsor, will you allocate the remaining balance to participants at the end of the year and reflect it on the participant statements?	No
13.	In general, how often are fees reviewed to determine if changes are required?	Not Applicable

FEE STRUCTURE / FLEXIBILITY

	Question	Response
14.	Will your firm agree to return “float” income to the client/plan? If yes, please explain.	No Explain:
15.	Will your firm agree to provide a “gross pricing” fee proposal, meaning your quoted administration/recordkeeping fees are not contingent on investment related revenue offsets? Check all that apply.	<input type="checkbox"/> Dollar per participant <input type="checkbox"/> Basis points <input type="checkbox"/> Combination asset based + dollars <input type="checkbox"/> No

Services

Instructions:

For each service listed select either **Not Available** or **Available**. Under the additional fee column, select whether there is never a fee, always a fee or if it varies by client for each service listed.

	Availability	Additional Fee
Recordkeeping/Administration		
Calculate service for eligibility		
Based on hours	Not available	Never
Based on elapsed time	Not available	Never
Calculate service for vesting		
Based on hours	Not available	Never
Based on elapsed time	Not available	Never
Loans		
Approval process completed by vendor	Not available	Never
Paperless	Not available	Never
Accommodate varying payroll frequencies for loan repayments	Not available	Never
Accept manual loan repayments	Not available	Never
Accept loan repayments by check	Not available	Never
Directly debit participant's personal account	Not available	Never
Refinance existing loan (receive larger loan) when only one loan allowed by plan	Not available	Never
Methods for processing transfers/exchanges:		
Balance realignment in percentages	Not available	Never
Percentage from/percentage to	Not available	Never
Dollar from/Dollar to	Not available	Never
Shares from/Shares to	Not available	Never
Auto rebalancing based on current elections	Not available	Never
Automatic programs		
Implement and support Automatic enrollment	Not available	Never
Implement and support auto deferral increases	Not available	Never
Set a QDIA for automatic enrollments and auto increases based on PPA requirements	Not available	Never
Calculation of Employer Contributions		
Fixed or discretionary match on a pay period basis	Not available	Never
True-up match at plan year end	Not available	Never
Age-weighted profit sharing	Not available	Never
Age / service weighted match	Not available	Never
Cross-testing / new comparability	Not available	Never
Integrated profit sharing contribution	Not available	Never
Salary / service unit contribution formula	Not available	Never
Fixed match based on a percentage of contribution	Not available	Never
Discretionary match based on a percentage of contribution	Not available	Never
Profit sharing allocation based on ratio of each eligible participant's pay to total eligible pay	Not available	Never
Distributions		

Services

	Availability	Additional Fee
Identify, notify, calculate and process required minimum distributions without plan sponsor involvement	Not available	Never
System handles automatic installment payments	Not available	Never
Can the following be outsourced to your firm?		
Eligibility determination for new hires	Not available	Never
Eligibility determination for rehires	Not available	Never
Enrollment by Voice	Not available	Never
Enrollment by Web	Not available	Never
Contribution rate changes	Not available	Never
Collect beneficiary information	Not available	Never
Maintenance of beneficiary information	Not available	Never
Determination of eligibility for specific plan contributions (match, profit sharing)	Not available	Never
Approve hardships without plan sponsor involvement	Not available	Never
Do you prepare and/or mail the following notices?		
Prepare auto-enrollment notices	Not available	Never
Mail auto-enrollment notices	Not available	Never
Prepare automatic increase notices	Not available	Never
Mail automatic increase notices	Not available	Never
Prepare safe harbor notices per PPA	Not available	Never
Mail safe harbor notices per PPA	Not available	Never
Prepare QDIA notices	Not available	Never
Mail QDIA notices	Not available	Never
Prepare fund change notices	Not available	Never
Mail fund change notices	Not available	Never
Prepare age 50 catch-up eligibility notices	Not available	Never
Mail age 50 catch-up eligibility notices	Not available	Never
Prepare right to divest employer stock notice	Not available	Never
Mail right to divest employer stock notice	Not available	Never
Contributions		
Administer Roth 401(k) contributions	Not available	Never
Catch-up contributions	Not available	Never
Processing of negative contributions without input from client	Not available	Never
QDROs		
Qualification	Not available	Never
Administration	Not available	Never
Regulatory / Compliance		
Plan Document		
Support a custom plan document	Not available	Never
Prepare a draft custom document	Not available	Never
Maintain custom document with required amendments	Not available	Never
Prototype plan document	Not available	Never
Volume submitter document	Not available	Never
Custom SPD	Not available	Never
SPD based on prototype	Not available	Never
Qualification submission package to IRS	Not available	Never

Services

	Availability	Additional Fee
Testing		
Annual ADP / ACP	Not available	Never
Mid-year ADP/ACP with Projections	Not available	Never
Permissible Disaggregation	Not available	Never
QMAC/QNEC calculations to cure failures	Not available	Never
IRC 415(c) limits	Not available	Never
IRC 402(g) limits	Not available	Never
IRC 416 testing (Top Heavy)	Not available	Never
IRC 414(s) testing (Compensation)	Not available	Never
IRC 410(b) Coverage testing (Ratio Percentage)	Not available	Never
IRC 410(b) Coverage testing (Average Benefits)	Not available	Never
IRC 401(a)(4) General non-discrimination testing (rate group)	Not available	Never
Benefits, Rights and Features testing	Not available	Never
QSLOB Testing	Not available	Never
Cross-testing	Not available	Never
Communication/Education		
Statements		
Available on-demand	Not available	Never
Mail directly to participant's home	Not available	Never
Participants can elect to receive statements electronically	Not available	Never
Include personal rates of return	Not available	Never
Conform to PPA requirements	Not available	Never
Undeliverable statements returned to your address	Not available	Never
Suppress future printing of statements for lost participants	Not available	Never
Consolidated statement for multiple qualified plans	Not available	Never
Consolidated statement for qualified and non-qualified plan	Not available	Never
Retirement Planning Tools		
Workbooks	Not available	Never
Personalized retirement income projection statements	Not available	Never
Retirement calculators on the Web	Not available	Never
Retirement service centers	Not available	Never
One-on-one meetings	Not available	Never
Communication materials and participant website		
Generic (off-the-shelf)	Not available	Never
Semi-custom (company logo, color schemes, specific funds, etc.)	Not available	Never
Fully customized (look and feel of client)	Not available	Never
Enrollment kits mailed directly to participant's home address	Not available	Never
Website		
Display personal rates of return	Not available	Never
Notification on website for employees who do not have a beneficiary election	Not available	Never
Display vested percentage	Not available	Never

Services

	Availability	Additional Fee
Display current loan balance	Not available	Never
Display current beneficiary elections	Not available	Never
Trustee/Fiduciary Services		
Act as independent fiduciary	Not available	Never
Act as trustee	Not available	Never
Conversion		
Prepare blackout notices	Not available	Never
Mail blackout notices to active participants	Not available	Never
Mail blackout notices to terminated participants with balances	Not available	Never
Company Stock		
Allow plan sponsor to use own broker to handle stock trades	Not available	Never
Act as a trustee for employer stock	Not available	Never
Act as independent fiduciary for employer stock	Not available	Never
Work with independent fiduciary on the holding and trading of employer stock	Not available	Never
Allow for distribution of company stock in kind	Not available	Never
Accounting methods		
Unit	Not available	Never
Share	Not available	Never
Process plans with the following types of stock:		
Thinly traded stock	Not available	Never
Non-publicly traded stock	Not available	Never
Stock traded on a foreign exchange	Not available	Never
ESOPs		
Administer Non-leveraged	Not available	Never
Administer Leveraged	Not available	Never
Determine allocation of shares and handle share release for a leveraged ESOP	Not available	Never
Automatically notify participants of diversification rights	Not available	Never
Restrict trading practices on ESOP accounts	Not available	Never
Notify participants of dividend pass through availability	Not available	Never
Proxy cards		
Mailing and tabulation of proxy cards	Not available	Never
Provide proxy information to third party	Not available	Never
Insiders		
Ability to track trading by “insiders”	Not available	Never
Ability to restrict transactions by “insiders”	Not available	Never
Non-qualified plans		
Recordkeeping/administration	Not available	Never
Record keep an unfunded plan (phantom accounts)	Not available	Never
Record keep class year plans	Not available	Never

Services

	Availability	Additional Fee
Investment management	Not available	Never
Communication/Education	Not available	Never
Act as a Rabbi Trustee	Not available	Never
Support employer stock as a valuation vehicle	Not available	Never
Validate election changes for 409A compliance	Not available	Never
Support different elections for different deferral types	Not available	Never
Support a grandfathered non-qualified plan (pre-409A)	Not available	Never
Support mid-year new enrollments and track 30 day rule	Not available	Never
Track vesting and support FICA calculations	Not available	Never
Allow a different election for bonus payments	Not available	Never
Distribute funds directly from Rabbi Trust to employee	Not available	Never
Allow employees to elect an additional amount of tax withholding (over minimum required amounts)	Not available	Never
Monitor pending installment payments and make distributions as required	Not available	Never
Daily valuation of funds in NQ plan	Not available	Never
Provide reverse payroll feed	Not available	Never
Can participants access NQ plan information via:		
CSRs	Not available	Never
Voice	Not available	Never
Web	Not available	Never
Can participants initiate NQ plan transactions via:		
CSRs	Not available	Never
Voice	Not available	Never
Web	Not available	Never

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Last Update:

RFI Version: